



PATENT  
Attorney Docket No. HOOV 117

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re Application of:

Michael D. Hooven

Serial No.: 10/015,868

Filed: December 12, 2001

Examiner:

Art Unit: 3739

For: TRANSMURAL ABLATION DEVICE WITH  
THIN ELECTRODES

) I hereby certify that this correspondence  
) is being deposited with the United States  
) Postal Service as first class mail in an  
) envelope addressed to:

) Commissioner for Patents  
) Washington, D.C. 20231 on:

) on March 13, 2002

) Christine A. Barglik  
) Christine A. Barglik

) Date: March 13, 2002

Commissioner for Patents  
Washington, D.C. 20231

REQUEST FOR CORRECTED FILING RECEIPT

Dear Sir:

There is an error in the Filing Receipt received for the above-identified patent application. Applicant's name is incorrectly spelled Mivhael D. Hooven and should be Michael D. Hooven.

A copy of the Filing Receipt indicating the requested correction is attached.

Respectfully submitted,

Stephen B. Heller  
Stephen B. Heller  
Registration No. 30,181

COOK, ALEX, McFARRON, MANZO,  
CUMMINGS & MEHLER, LTD.  
200 West Adams Street - Suite 2850  
Chicago, IL 60606  
(312) 236-8500



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UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20503  
www.uspto.gov

| APPLICATION NUMBER | FILING DATE | GRP ART UNIT | FIL FEE REC'D | ATTY. DOCKET NO. | DRAWINGS | TOT CLAIMS | IND CLAIMS |
|--------------------|-------------|--------------|---------------|------------------|----------|------------|------------|
| 10/015,868         | 12/12/2001  | 3739         | 370           | HOOV 117         | 66       | 6          | 2          |

CONFIRMATION NO. 7290

26568

COOK, ALEX, MCFARRON, MANZO, CUMMINGS & MEHLER LTD.  
SUITE 2850  
200 WEST ADAMS STREET  
CHICAGO, IL 60606

FILING RECEIPT



\*OC000000007608063\*

Date Mailed: 03/08/2002

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s) **c**

Mi/hael D. Hooven, Residence Not Provided;

Domestic Priority data as claimed by applicant

Foreign Applications

If Required, Foreign Filing License Granted 03/08/2002

Projected Publication Date: To Be Determined - pending completion of Missing Parts

Non-Publication Request: No

Early Publication Request: No

**\*\* SMALL ENTITY \*\***

Title

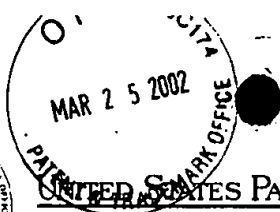
Transmural ablation device with thin electrodes

Preliminary Class

606

*Atticure*

|                                 |            |
|---------------------------------|------------|
| CASE                            | 400V117    |
| ATTY.                           | 606M/524   |
| DATE OF FILING                  | 03/08/02   |
| FILED BY                        | OK TO FILE |
| RECEIVED BY                     | OK TO FILE |
| <i>Missing Parts due 5/8/02</i> |            |



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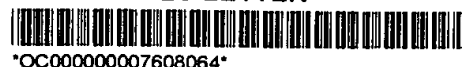
| APPLICATION NUMBER | FILING/RECEIPT DATE | FIRST NAMED APPLICANT | ATTORNEY DOCKET NUMBER |
|--------------------|---------------------|-----------------------|------------------------|
| 10/015,868         | 12/12/2001          | Mivhael D. Hooven     | HOOV 117               |

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SUITE 2850  
200 WEST ADAMS STREET  
CHICAGO, IL 60606

CONFIRMATION NO. 7290

# FORMALITIES LETTER



\*OC000000007608064\*

Date Mailed: 03/08/2002

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

03/27/2002 BABRAHA1 00000075 10015868

01 FC:205

65.00 OP

FILED UNDER 37 CFR 1.53(b)

### Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is missing.  
*A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.*
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(l) of \$65 for a small entity in compliance with 37 CFR 1.27, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 65.

The application is informal since it does not comply with the regulations for the reason(s) indicated below.

The required item(s) identified below must be timely submitted to avoid abandonment:

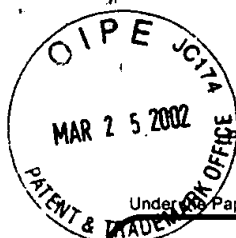
- Substitute drawings in compliance with 37 CFR 1.84 because:
  - drawing sheets do not have the appropriate margin(s) (see 37 CFR 1.84(g)). Each sheet must include a top margin of at least 2.5 cm. (1 inch), a left side margin of at least 2.5 cm. (1 inch), a right side margin of at least 1.5 cm. ( 5/8 inch), and a bottom margin of at least 1.0 cm. (3/8 inch);
  - more than one figure is present and each figure is not labeled "Fig." with a consecutive Arabic numeral (1, 2, etc.) or an Arabic numeral and capital letter in the English alphabet (A, B, etc.)(see 37 CFR 1.84(u)(1));

J. Hernandez

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 3 - OFFICE COPY



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25 GPT  
MP  
B

Please type a plus sign (+) inside this box → ☐

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PTO/SB/21 (08-00)

Approved for use through 10/31/2002. OMB 0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

|   |                        |                   |
|---|------------------------|-------------------|
| <b>TRANSMITTAL FORM</b><br>(to be used for all correspondence after initial filing) | Application Number     | 10/015,868        |
|   | Filing Date            | December 12, 2001 |
|   | First Named Inventor   | Michael D. Hooven |
|   | Group Art Unit         | 3739              |
|   | Examiner Name          |                   |
| Total Number of Pages in This Submission  | Attorney Docket Number | HOOV 117          |

| ENCLOSURES (check all that apply)   |   |  |
|---|---|--|
| <input checked="" type="checkbox"/> Fee Transmittal Form  | <input type="checkbox"/> Assignment Papers (for an Application)                         | <input type="checkbox"/> After Allowance Communication to Group                            |
| <input checked="" type="checkbox"/> Fee Attached  | <input checked="" type="checkbox"/> Drawing(s)  | <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences        |
| <input checked="" type="checkbox"/> Amendment / <del>Reply</del> - Preliminary                      | <input type="checkbox"/> Licensing-related Papers                                       | <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) |
| <input type="checkbox"/> After Final  | <input type="checkbox"/> Petition   | <input type="checkbox"/> Proprietary Information   |
| <input type="checkbox"/> Affidavits/declaration(s)  | <input type="checkbox"/> Petition to Convert to a Provisional Application               | <input type="checkbox"/> Status Letter   |
| <input type="checkbox"/> Extension of Time Request  | <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address | <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below):            |
| <input type="checkbox"/> Express Abandonment Request  | <input type="checkbox"/> Terminal Disclaimer  | - Return Postcard  |
| <input type="checkbox"/> Information Disclosure Statement   | <input type="checkbox"/> Request for Refund   | - Part 2 of Notice To File Missing Parts   |
| <input type="checkbox"/> Certified Copy of Priority Document(s)                                     | <input type="checkbox"/> CD, Number of CD(s) _____                                      | - Request For Corrected Filing Receipt   |
| <input checked="" type="checkbox"/> Response to Missing Parts/ Incomplete Application - Declaration | Remarks   | - Copy of Filing Receipt Showing Requested Changes   |
| <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53                        |   |  |

| SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT |                   |
|--|-------------------|
| Firm or Individual name                    | Stephen B. Heller |
| Signature                                  |                   |
| Date                                       | March 13, 2002    |

| CERTIFICATE OF MAILING   |                      |
|--|----------------------|
| I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, Washington, DC 20231 on this date: <input type="text" value="March 13, 2002"/> |                      |
| Typed or printed name  | Christine A. Barglik |
| Signature  |                      |
| Date   | March 13, 2002       |

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# FEE TRANSMITTAL for FY 2002

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$ 65.00

## Complete if Known

|                      |                   |
|----------------------|-------------------|
| Application Number   | 10/015,868        |
| Filing Date          | December 12, 2001 |
| First Named Inventor | Michael D. Hooven |
| Examiner Name        |                   |
| Group Art Unit       | 3739              |
| Attorney Docket No.  | HOOV 117          |

## METHOD OF PAYMENT

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:
- Deposit Account Number: 50/1039
- Deposit Account Name: Cook, Alex, McFarron, Manzo, Cummings & Mehler, Ltd.
- ☒ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17
- ☒ Applicant claims small entity status. See 37 CFR 1.27
2. ☒ Payment Enclosed:
- ☒ Check ☐ Credit card ☐ Money Order ☐ Other

## FEE CALCULATION

### 1. BASIC FILING FEE

| Large Entity Fee Code (\$) | Small Entity Fee Code (\$) | Fee Description        | Fee Paid |
|----------------------------|----------------------------|------------------------|----------|
| 101 740                    | 201 370                    | Utility filing fee     |          |
| 106 330                    | 206 165                    | Design filing fee      |          |
| 107 510                    | 207 255                    | Plant filing fee       |          |
| 108 740                    | 208 370                    | Reissue filing fee     |          |
| 114 160                    | 214 80                     | Provisional filing fee |          |

SUBTOTAL (1) (\$)

### 2. EXTRA CLAIM FEES

Total Claims:  -20\*\* =  X  =

Independent Claims:  -3\*\* =  X  =

Multiple Dependent:  =

| Large Entity Fee Code (\$) | Small Entity Fee Code (\$) | Fee Description  |
|----------------------------|----------------------------|--|
| 103 18                     | 203 9                      | Claims in excess of 20                                     |
| 102 84                     | 202 42                     | Independent claims in excess of 3                          |
| 104 280                    | 204 140                    | Multiple dependent claim, if not paid                      |
| 109 84                     | 209 42                     | ** Reissue independent claims over original patent         |
| 110 18                     | 210 9                      | ** Reissue claims in excess of 20 and over original patent |

SUBTOTAL (2) (\$)

\*or number previously paid, if greater; For Reissues, see above

## FEE CALCULATION (continued)

### 3. ADDITIONAL FEES

| Large Entity Fee Code (\$) | Small Entity Fee Code (\$) | Fee Description  | Fee Paid |
|----------------------------|----------------------------|--|----------|
| 105 130                    | 205 65                     | Surcharge - late filing fee or oath  | 65.00    |
| 127 50                     | 227 25                     | Surcharge - late provisional filing fee or cover sheet                     |          |
| 139 130                    | 139 130                    | Non-English specification  |          |
| 147 2,520                  | 147 2,520                  | For filing a request for <i>ex parte</i> reexamination                     |          |
| 112 920*                   | 112 920*                   | Requesting publication of SIR prior to Examiner action                     |          |
| 113 1,840*                 | 113 1,840*                 | Requesting publication of SIR after Examiner action                        |          |
| 115 110                    | 215 55                     | Extension for reply within first month                                     |          |
| 116 400                    | 216 200                    | Extension for reply within second month                                    |          |
| 117 920                    | 217 460                    | Extension for reply within third month                                     |          |
| 118 1,440                  | 218 720                    | Extension for reply within fourth month                                    |          |
| 128 1,960                  | 228 980                    | Extension for reply within fifth month                                     |          |
| 119 320                    | 219 160                    | Notice of Appeal   |          |
| 120 320                    | 220 160                    | Filing a brief in support of an appeal                                     |          |
| 121 280                    | 221 140                    | Request for oral hearing   |          |
| 138 1,510                  | 138 1,510                  | Petition to institute a public use proceeding                              |          |
| 140 110                    | 240 55                     | Petition to revive - unavoidable   |          |
| 141 1,280                  | 241 640                    | Petition to revive - unintentional   |          |
| 142 1,280                  | 242 640                    | Utility issue fee (or reissue)   |          |
| 143 460                    | 243 230                    | Design issue fee   |          |
| 144 620                    | 244 310                    | Plant issue fee  |          |
| 122 130                    | 122 130                    | Petitions to the Commissioner  |          |
| 123 50                     | 123 50                     | Processing fee under 37 CFR 1.17(q)  |          |
| 126 180                    | 126 180                    | Submission of Information Disclosure Stmt                                  |          |
| 581 40                     | 581 40                     | Recording each patent assignment per property (times number of properties) |          |
| 146 740                    | 246 370                    | Filing a submission after final rejection (37 CFR § 1.129(a))              |          |
| 149 740                    | 249 370                    | For each additional invention to be examined (37 CFR § 1.129(b))           |          |
| 179 740                    | 279 370                    | Request for Continued Examination (RCE)                                    |          |
| 169 900                    | 169 900                    | Request for expedited examination of a design application                  |          |

Other fee (specify) \_\_\_\_\_

\*Reduced by Basic Filing Fee Paid

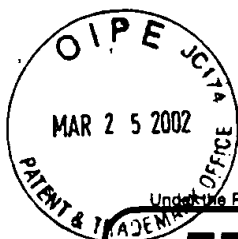
SUBTOTAL (3) (\$ 65.00

## SUBMITTED BY

|                   |                   |                                   |                |           |                |
|-------------------|-------------------|-----------------------------------|----------------|-----------|----------------|
| Name (Print/Type) | Stephen B. Heller | Registration No. (Attorney/Agent) | 30,181         | Telephone | (312) 236-8500 |
| Signature         |                   | Date                              | March 13, 2002 |           |                |

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U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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**FEE TRANSMITTAL  
for FY 2002**

Patent fees are subject to annual revision.

**TOTAL AMOUNT OF PAYMENT** (\$) 65.00**Complete if Known**

|                      |                   |
|----------------------|-------------------|
| Application Number   | 10/015,868        |
| Filing Date          | December 12, 2001 |
| First Named Inventor | Michael D. Hooven |
| Examiner Name        |                   |
| Group Art Unit       | 3739              |
| Attorney Docket No.  | HOOV 117          |

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- 1.
- ☒
- The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number: 50/1039  
Deposit Account Name: Cook, Alex, McFarron, Manzo, Cummings & Mehler, Ltd.

☒ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17☒ Applicant claims small entity status. See 37 CFR 1.27

- 2.
- ☒
- Payment Enclosed:

☒ Check ☐ Credit card ☐ Money Order ☐ Other**FEE CALCULATION****1. BASIC FILING FEE**

| Large Entity | Small Entity | Fee Code | Fee (\$) | Fee Code | Fee (\$) | Fee Description        | Fee Paid |
|--------------|--------------|----------|----------|----------|----------|------------------------|----------|
|              |              | 101      | 740      | 201      | 370      | Utility filing fee     |          |
|              |              | 106      | 330      | 206      | 165      | Design filing fee      |          |
|              |              | 107      | 510      | 207      | 255      | Plant filing fee       |          |
|              |              | 108      | 740      | 208      | 370      | Reissue filing fee     |          |
|              |              | 114      | 160      | 214      | 80       | Provisional filing fee |          |

**SUBTOTAL (1)** (\$) **2. EXTRA CLAIM FEES**

Total Claims:  - 20\*\* =  X  =   
Independent Claims:  - 3\*\* =  X  =   
Multiple Dependent:  =

| Large Entity | Small Entity | Fee Code | Fee (\$) | Fee Code | Fee (\$) | Fee Description  |
|--------------|--------------|----------|----------|----------|----------|--|
|              |              | 103      | 18       | 203      | 9        | Claims in excess of 20                                     |
|              |              | 102      | 84       | 202      | 42       | Independent claims in excess of 3                          |
|              |              | 104      | 280      | 204      | 140      | Multiple dependent claim, if not paid                      |
|              |              | 109      | 84       | 209      | 42       | ** Reissue independent claims over original patent         |
|              |              | 110      | 18       | 210      | 9        | ** Reissue claims in excess of 20 and over original patent |

**SUBTOTAL (2)** (\$) 

\*\*or number previously paid, if greater; For Reissues, see above

**FEE CALCULATION (continued)****3. ADDITIONAL FEES**

| Large Entity | Small Entity | Fee Code | Fee (\$) | Fee Code | Fee (\$) | Fee Description  | Fee Paid |
|--------------|--------------|----------|----------|----------|----------|--|----------|
|              |              | 105      | 130      | 205      | 65       | Surcharge - late filing fee or oath  | 65.00    |
|              |              | 127      | 50       | 227      | 25       | Surcharge - late provisional filing fee or cover sheet                     |          |
|              |              | 139      | 130      | 139      | 130      | Non-English specification  |          |
|              |              | 147      | 2,520    | 147      | 2,520    | For filing a request for ex parte reexamination                            |          |
|              |              | 112      | 920*     | 112      | 920*     | Requesting publication of SIR prior to Examiner action                     |          |
|              |              | 113      | 1,840*   | 113      | 1,840*   | Requesting publication of SIR after Examiner action                        |          |
|              |              | 115      | 110      | 215      | 55       | Extension for reply within first month                                     |          |
|              |              | 116      | 400      | 216      | 200      | Extension for reply within second month                                    |          |
|              |              | 117      | 920      | 217      | 460      | Extension for reply within third month                                     |          |
|              |              | 118      | 1,440    | 218      | 720      | Extension for reply within fourth month                                    |          |
|              |              | 128      | 1,960    | 228      | 980      | Extension for reply within fifth month                                     |          |
|              |              | 119      | 320      | 219      | 160      | Notice of Appeal   |          |
|              |              | 120      | 320      | 220      | 160      | Filing a brief in support of an appeal                                     |          |
|              |              | 121      | 280      | 221      | 140      | Request for oral hearing   |          |
|              |              | 138      | 1,510    | 138      | 1,510    | Petition to institute a public use proceeding                              |          |
|              |              | 140      | 110      | 240      | 55       | Petition to revive - unavoidable   |          |
|              |              | 141      | 1,280    | 241      | 640      | Petition to revive - unintentional   |          |
|              |              | 142      | 1,280    | 242      | 640      | Utility issue fee (or reissue)   |          |
|              |              | 143      | 460      | 243      | 230      | Design issue fee   |          |
|              |              | 144      | 620      | 244      | 310      | Plant issue fee  |          |
|              |              | 122      | 130      | 122      | 130      | Petitions to the Commissioner  |          |
|              |              | 123      | 50       | 123      | 50       | Processing fee under 37 CFR 1.17(q)  |          |
|              |              | 126      | 180      | 126      | 180      | Submission of Information Disclosure Stmt                                  |          |
|              |              | 581      | 40       | 581      | 40       | Recording each patent assignment per property (times number of properties) |          |
|              |              | 146      | 740      | 246      | 370      | Filing a submission after final rejection (37 CFR § 1.129(a))              |          |
|              |              | 149      | 740      | 249      | 370      | For each additional invention to be examined (37 CFR § 1.129(b))           |          |
|              |              | 179      | 740      | 279      | 370      | Request for Continued Examination (RCE)                                    |          |
|              |              | 169      | 900      | 169      | 900      | Request for expedited examination of a design application                  |          |

Other fee (specify) \_\_\_\_\_

\*Reduced by Basic Filing Fee Paid

**SUBTOTAL (3)** (\$) 65.00**SUBMITTED BY**

|                   |                   |                                   |                |           |                |
|-------------------|-------------------|-----------------------------------|----------------|-----------|----------------|
| Name (Print/Type) | Stephen B. Heller | Registration No. (Attorney/Agent) | 30,181         | Telephone | (312) 236-8500 |
| Signature         |                   | Date                              | March 13, 2002 |           |                |

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